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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/780,026
Filing Date	02/17/2004
First Named Inventor	William E. Rodgers
Group Art Unit	
Examiner Name	
Attorney Docket Number	6734-CIP-DIV

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below): <p>Postcard Transmittal of IDS Statement</p>		
<table border="1"> <tr> <td>Remarks</td> <td> Applicant believes that all appropriate fees are hereby paid, but authorization is hereby given to charge Deposit Account No. <u>18-0882</u> for any fee deficiency or credit any overpayment. <i>Antonia M. Holland</i> <u>Antonia M. Holland</u> </td> </tr> </table>			Remarks	Applicant believes that all appropriate fees are hereby paid, but authorization is hereby given to charge Deposit Account No. <u>18-0882</u> for any fee deficiency or credit any overpayment. <i>Antonia M. Holland</i> <u>Antonia M. Holland</u>
Remarks	Applicant believes that all appropriate fees are hereby paid, but authorization is hereby given to charge Deposit Account No. <u>18-0882</u> for any fee deficiency or credit any overpayment. <i>Antonia M. Holland</i> <u>Antonia M. Holland</u>			

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Antonia M. Holland
Signature	<i>Antonia M. Holland</i>
Date	April 19, 2004

CERTIFICATE OF MAILING

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Date	April 19, 2004

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MW/1083030



Attorney's Docket No. 6734-CIP-DIV

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application

In re application of: William E. Rodgers

Group Art Unit: 3643

Serial No.: 10/780,026

Filed: 02/17/2004

For: HUMANE HORSE HEADGEAR

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
WITHIN THREE MONTHS OF FILING OR BEFORE MAILING OF
FIRST OFFICE ACTION (37 CFR 1.97(b))**

NOTE: "An information disclosure statement shall be considered by the Office if filed: (1) within three months of the filing date of a national application; (2) within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; or (3) before the mailing date of a first Office action on the merits, whichever event occurs last." 37 CFR 1.97(b).

NOTE: The "filing date of a national application" under 37 CFR 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark Office, the filing is defined in 37 CFR 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 CFR 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the national fee; (2) a copy of the international application, unless already sent by the International Bureau, and an English translation if filed in another language; (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the International preliminary examination report, if such annexes were made in another language. 37 CFR 1.97(b)(2).

CERTIFICATE OF MAILING/TRANSMISSION (37 CFR 1.8)

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Date: April 19, 2004

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Signature

Antonia M. Holland

(type or print name of person certifying)

IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 CFR 1.97(b).

NOTE: *"No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing."*

NOTE: *"An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 CFR 1.8, or Express Mail certificate under 37 CFR 1.10. An Office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

NOTE: *"The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

NOTE: *"An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirement (37 CFR 1.142) or just a requirement for additional fees to have a claim considered (37 CFR 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

WARNING: *"A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 CFR 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63).*

Dated: April 19, 2004
Reg. No. 53,840
Tel. No.: (414) 298-8285



SIGNATURE OF ATTORNEY

Antonia M. Holland

Reinhart Boerner Van Deuren, s.c.
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1000 North Water Street, Suite 2100
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PATENT APPLICATION

Reinhart Boerner Van Deuren s.c.

By: Antonia M. Holland
Antonia M. Holland

Date: April 19, 2004



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

GROUP ART UNIT: 3643

EXAMINER: Robert P. Swiatek

In re application of: William E. Rodgers)
Application No: 10/780,026)
For: HUMANE HORSE HEADGEAR)
Filed: February 17, 2004)
Attorney Docket No.: 6734-CIP-DIV)

April 19, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

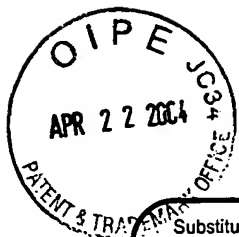
Sir:

On behalf of Applicant and pursuant to 37 C.F.R. § 1.97-.98, U.S. patents that may be relevant are listed on Form 1449 and is hereby presented for consideration. Copies of the listed non-patent references and foreign patent applications are not required to be provided because they were cited by or submitted to the Patent Office in the parent application serial no. 10/208,296, or the parent application serial number 10/137,596.

Respectfully submitted,

BY Antonia M. Holland
Antonia M. Holland
Attorney for Applicant
Registration No. 53,840

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414-298-8285
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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 Of 2

Complete if Known

Application Number	10.780.026
Filing Date	02/17/2004
First Named Inventor	William E. Rodgers
Group Art Unit	
Examiner Name	
Attorney Docket Number	6734-CIP-DIV

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
	A	US- 565,681	08/11/1896	G.E. Hutton	
	B	US- 3,949,538	04/13/1976	Woodruff	
	C	US- 3,998,033	12/21/1976	Watkins et al.	
	D	US- 4,337,610	07/06/1982	Taylor	
	E	US- 4,343,136	08/10/1982	Le Tixerant et al.	
	F	US- 4,459,795	07/17/1984	Le Tixerant, Eric	
	G	US- 4,472,925	09/25/1984	Woodruff	
	H	US- 4,480,427	11/06/1984	Conrad, Ulrich	
	I	US- 4,495,752	01/29/1985	Simpson, Roy G.	
	J	US- 4,495,753	01/29/1985	Simpson, Roy G.	
	K	US- 4,524,569	06/25/1985	Hanna, Thomas B.	
	L	US- 4,565,055	01/21/1986	Simpson, Roy G.	
	M	US- 4,722,171	02/02/1988	Meroth, Erwin	
	N	US- 4,798,043	01/17/1989	Wyse	
	O	US- 4,999,980	03/19/1991	McGowan, John C.	
	P	US- 5,079,904	01/14/1992	Berube, Dennis J.	
	Q	US- 5,086,611	02/11/1992	Purdy, Howard A.	
	R	US- 5,615,539	04/01/1997	Graham, Lewis V.	
	S	US- 5,660,031	08/26/1997	Clark, Don M., et al.	
	T	US-6,202,393 B1	03/20/2001	Myler, Ronald J.	

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
	U	GB 2264218	08/25/1993	Spencer Theresa Mary		
	V	GB 2310123	08/20/1997	Raffaelli Gillian Irene		
	W	DE 29720858	01/15/1998	Druecker Otto		
	X	DE 19731635	02/05/1998	Hassenjuergen Heinz		

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

2

Of

2

Complete if Known

Application Number	10/780,026
Filing Date	02/17/2004
First Named Inventor	William E. Rodgers
Group Art Unit	
Examiner Name	
Attorney Docket Number	6734-CIP DIV

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	Y	LEA & SACHS, INC. - "Woven & Knit Elastic" - www.leasachs.com - 5/2002, pp. 1-3, U.S. - Internet	
	Z	STATE LINE TACK, INC., Catalog pages 128, 131, 179, 180, 72, 73 - Available as of March 2002, U.S.	
	AA	STATE LINE TACK, INC., "State Line Tack Premium Nylon Halter With Snap" - 7/23/2002 - www.statelinetack.com - U.S. - Internet	
	AB	CONGRESS LEATHER, "ARABIAN SHOW HALTERS" - www.congressleather.com - pp. 1-3 - U.S. - 5/22/2002 - Internet	
	AC	EXCLUSIVELY ARABIAN, "Brown and Gold Halter" - www.Egyptian-arabian.com - 5/22/2002 - pp. 1-3 - Internet	
	AD	SHOW STOPPER TACK, INC., "SS Weymouth Show Bit" - www.showstoppertack.com - 7/19/2002 - pp. 1-3 - U.S. - Internet	
	AE	DIAMOND R SADDLERY, "Curb Chains, Straps & Headstalls" - www.diamondrsaddlery.com - 7/19/2002 - pp. 1-6 - U.S. - Internet	
	AF	TURNER'S SADDLERY & WESTERN WEAR, "BITS" - www.turnersaddlery.com - 6/20/2002 - pp. 1-4 - U.S. - Internet	
	AG	HORSE DATA, "Points of a Bridle" - www.horsedata.co.uk/points_of_a_bridle.htm - 2-2 - UK - Internet	
	AH	BROWN PAULA, "The Humble Halter - Worth a Second Look" - www.clipclip.com - May 22, 2002 - pp. 1-3 - U.S. - Internet	
	AI	HORSE HEALTH USA, "Riveted Leather Halters" - www.horsehealthusa.com - May 22, 2002 - pp. 1 - U.S. - Internet	
	AJ	An English Translation of German Patent DE 19731635	

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SignatureDate
Considered

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